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JOHN HARBISON'S USE OF MUSIC OF THE PAST IN THREE SELECTED COMPOSITIONS*

PETER SILBERMAN

The music of John Harbison (b. 1938) is rich in allusions to music of the past. Many of his compositions incorporate excerpts from pre-existing works, or newly written passages in earlier styles, predominantly jazz. Not surprisingly, he has written of his interest in history, and of the composers from all eras whose music fascinates him. Harbison comments: "My father was a historian. I answered this in the usual way, by being very poor on the subject, even uninterested, until he died. Then nothing seemed *more* interesting."¹ He also writes of his "fascination with history, and a respect for its force."² This paper will investigate how Harbison's interest in history manifests itself in his compositions through his extensive use of musical material borrowed from earlier composers and styles. I will group his borrowings into three categories—misreading, pastiche, and quotation—and will discuss one composition from each category. Within each composition, I will show how Harbison integrates borrowed tonal material with original post-tonal material.

Figure 1 shows a sampling of Harbison's works, organized into three groups. The first contains works that employ various jazz styles, which also are listed. The second contains works that quote or are influenced by a specific composition. The third lists works that exhibit a more

* The author would like to thank Jorge Villavicencio Grossmann, Deborah Rifkin, and *Gamut*'s anonymous reviewers for comments on earlier drafts of this article.

¹ John Harbison, "I. History," in "Six Tanglewood Talks (1, 2, 3)," *Perspectives of New Music* (1985), 13.

² Harbison, "I. History," 13.

FIGURE 1. Harbison's musical borrowings

Jazz-influenced works

"Gospel Shout" from *Four Occasional Pieces* (1978): gospel
Music for Eighteen Winds (1986): big band jazz
Oboe Concerto (1991): big band jazz
Three City Blocks (1993): big band jazz
The Great Gatsby (1999) and related works (*Gatsby Etudes*, *Remembering Gatsby*, *Gatsby Suite*): ragtime and 1920s popular music
North and South: Six Poems by Elizabeth Bishop (2000): blues, jazz

Works that refer to specific compositions

"Standards," from *Four Occasional Pieces* (1978): "Tea for Two," "There's No Business Like Show Business," "I Want to Be Happy"
Twilight Music (1985): Brahms's Trio, Op. 40
November 18, 1828 (1988): Schubert's Allegretto in C, D. 346
Little Fantasy on "The Twelve Days of Christmas" (1988): "The Twelve Days of Christmas"
David's Fascinating Rhythm Method (1991): Gershwin's "Fascinating Rhythm"
Songs America Loves to Sing (2004): "Amazing Grace," "Aura Lee," "We Shall Overcome," and other traditional songs
Abu Ghraib (2006) for cello and piano: an Iraqi folksong
Rubies (2006): Thelonius Monk's "Ruby My Dear"
Mary Lou (Four Symphonic Memories of Mary Lou Williams) (2008): Williams's tune "Pretty Eyed Baby"

Other

"Two Part Invention," from *Four Occasional Pieces* (1978): Prokofiev's music
 "Tango Seen From Ground Level," from *Four More Occasional Pieces* (1987): tangos
String Quartet no. 2 (1987): baroque music
The Most Often Used Chords (1993): music instruction guides in music manuscript notebooks
San Antonio (1994) for alto saxophone and piano: Latin American music, tangos

general influence of some sort of pre-existing musical material. Such material ranges from music-instruction guides on the covers of music manuscript notebooks, the basis for the chords and scales in "The Most Often Used Chords," to Baroque compositions in general, which influence the String Quartet No. 2 (particularly its first movement). Figure 1 as a whole shows the great diversity of Harbison's musical borrowing, even within each category. The composer has also written of the influence of works as disparate as Haydn's piano trios and the viola compositions of Bartolomeo Campagnoli, an Italian contemporary of Mozart.

In each of the works listed in Figure 1, the pre-existing material is tonal. Harbison's own style, despite the frequent presence of tonal centers and triads, is post-tonal and sometimes quite dissonant. In each work, he integrates tonal and post-tonal material, even when he employs literal quotations from tonal works. I will investigate such integration, and will show various strategies for achieving it in three compositions: *Twilight Music* employs another work's motivic material in a radically different way; the first of the *Gatsby Etudes* manipulates ragtime and jazz clichés in a post-tonal manner; and *November 19, 1828* transforms a passage by Schubert for programmatic effect.

In what ways can a composer incorporate pre-existing music or musical styles in a new work? J. Peter Burkholder provides a list of questions to ask when studying musical borrowing, which he defines as “taking something from an existing piece of music and using it in a new piece. This ‘something’ may be anything, from a melody to a structural plan.”³ These questions cover such topics as the relationship of the existing piece to the new work, elements of the older work used in the newer, the relationship of the borrowed material to the structure of the new work, alterations made to the borrowed material, musical function(s) of the borrowed material, and extramusical meaning of the borrowed material.⁴ The breadth of these questions points to the diversity of usage of musical borrowing. Composers can use pre-existing material in a variety of ways, each with its own unique interaction of old and new material and its own meaning. Simply observing that a musical passage employs borrowing does not delve deeply enough into the relationships between old and new material. Burkholder cautions that “large categories like ‘borrowing’ or ‘quotation’ are not enough. There are many ways of using existing music, and it

³ J. Peter Burkholder, “The Uses of Existing Music: Musical Borrowing as a Field,” *Notes* 50/3 (1994), 863.

⁴ For a similar list, see also J. Peter Burkholder, “Borrowing,” §1, in *Grove Music Online*, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/52918>>, accessed 13 June 2013.

is necessary to differentiate among them.”⁵ He goes on to list fourteen different techniques of borrowing used by Charles Ives, that also can be used to discuss borrowing in the works of others.⁶ Included in Burkholder’s list are such techniques as writing a paraphrase (i.e., turning an older melody into a newer, related melody), using a melody as a *cantus firmus* (i.e., setting a melody’s pitches to long notes that accompany a faster moving part), alluding to a particular style, and creating a collage out of numerous quotations.

Although the divisions in Figure 1 suggest various categories of borrowing used by Harbison, they merely list the types of music borrowed rather than the techniques used to integrate the older, tonal material into a post-tonal setting. Therefore, I will investigate these techniques by proposing three categories of borrowing in Harbison’s music—misreading, pastiche, and quotation—and will discuss one work from each category:⁷ *Twilight Music* is a misreading; the *Gatsby Etudes* contain pastiches; and the third movement of *November 19, 1828* employs quotation. Each analysis will focus on how the original tonal material is transformed

⁵ Burkholder, “The Uses of Existing Music,” 855.

⁶ For a more in-depth examination of Ives’s musical borrowings, see J. Peter Burkholder, *All Made of Tunes: Charles Ives and the Uses of Musical Borrowing* (New Haven, CT: Yale Univ. Press, 1995); and Burkholder, “‘Quotation’ and Emulation: Charles Ives’s Use of His Models,” *Musical Quarterly* 71/1 (1985): 1–26.

⁷ My three categories are not meant to be exhaustive, but are merely three points on a continuum that ranges from borrowing nothing to quoting a pre-existing work in its entirety. These three points are a good fit with Harbison’s borrowing practices, but may not be appropriate ways of describing borrowing in the works of other composers. More comprehensive typologies of borrowing practice can be found in C. Catherine Losada, “The Process of Modulation in Musical Collage,” *Music Analysis* 27/2–3 (2008): 295–336; Richard Beaudoin, “You’re There and You’re Not There: Musical Borrowing and Cavell’s ‘Way,’” *Journal of Music Theory* 54/1 (2010): 91–106; and Martha M. Hyde, “Neoclassic and Anachronistic Impulses in Twentieth-Century Music,” *Music Theory Spectrum* 18/2 (1996): 200–235. Losada proposes nine categories, also along a continuum, ranging from works in which “structural features of earlier compositions are incorporated without actual quotation” to collage (for example, the third movement of Berio’s *Sinfonia*) (327–328). Beaudoin lists five categories, ranging from “work[s] without explicit borrowing” to transcription (92–93). There is a good deal of overlap between both authors’ categories. Hyde investigates situations in which a twentieth-century composer imitates features of earlier works or styles, but does not go as far as outright quotation. Hyde proposes categories of imitation based on how closely a newer work follows the model of an earlier work or works, and whether the new work emphasizes its distance from an earlier one or is in dialogue with it (in which case the older work is just as much a commentary on the newer work as the newer is on the older).

into post-tonal material. Succeeding analyses will reveal an increasing influence of the tonal material on an entire work.⁸

I. *Twilight Music*

Twilight Music, for violin, horn, and piano, was written in 1984. Its instrumentation is unusual as there are few works for this combination of instruments. In contrast to a string quartet (for example), *Twilight Music's* instrumentation brings to mind only one work by a major composer, Brahms's Trio, Op. 40. Brahms was most likely the first composer to write for this ensemble, and his work is the only one before the late twentieth century to enter the repertoire. Any modern composer writing for horn, violin, and piano would likely be influenced by Brahms's work in some way, creating a "misreading."⁹

⁸ There are numerous studies of individual works that incorporate borrowing: see, e.g., Michael J. Puri, "Memory, Pastiche, and Aestheticism in Ravel and Proust," in *Ravel Studies*, ed. Deborah Mawer (New York: Cambridge Univ. Press, 2010): 56–73; Nils Holger Petersen, "Quotation and Framing: Re-contextualization and Intertextuality as Newness in George Crumb's *Black Angels*," *Contemporary Music Review* 29/3 (2010): 309–321; C. Catherine Losada, "The Process of Modulation in Musical Collage," and "Between Modernism and Postmodernism: Strands of Continuity in Collage Compositions by Rochberg, Berio, and Zimmerman," *Music Theory Spectrum* 31/1 (2009): 57–100; James Wierzbicki, "Reflections on Rochberg and 'Postmodernism,'" *Perspectives of New Music* 45/2 (2007): 108–132; and essays in David Metzger, *Quotation and Cultural Meaning in Twentieth-Century Music* (New York: Cambridge Univ. Press, 2003), and Glenn Watkins, *Pyramids at the Louvre: Music, Culture, and Collage from Stravinsky to the Postmodernists* (Cambridge, MA: Belknap Press of Harvard Univ. Press, 1994). However, there are only a few other studies of a single composer's borrowing practices throughout his or her *oeuvre*. Besides Burkholder's work on the music of Ives, cited above, various articles discuss borrowing in multiple works of Cage, Holloway, and Nyman. See, e.g., David W. Bernstein, "Techniques of Appropriation in Music of John Cage," *Contemporary Music Review* 20/4 (2001): 71–90, which discusses Cage's incorporation of borrowed material, transformed by chance methods, in several of his later works. Bernstein also reflects on the meaning of such incorporation, suggesting that Cage used borrowed material to write emotionally expressive music that contrasts with his deliberate avoidance of expression in his earlier works. John Fallas, "Into the New Century: Recent Holloway and the Poetics of Quotation," *Tempo* 61/242 (2007): 2–10, observes that the British composer Robin Holloway chooses quotations that create a narrative of conflict due to the programmatic associations of the compositions from which the quotations are taken (war vs. peace, good vs. evil, etc.). Maarten Bierens, "Quotation as a Structural Element in Music by Michael Nyman," *Tempo* 61/242 (2007): 25–38, observes that Michael Nyman is one of the few minimalist composers who employs borrowed material. Nyman transforms that material in a typical minimalist fashion by reducing it to its basic components (perhaps isolating a bass line, a characteristic chord progression, or a prominent melodic figure), and then juxtaposing this raw material in a manner different from that of the original work.

⁹ As a well-known example, György Ligeti subtitled his 1982 Trio for violin, horn, and piano "Hommage à Brahms."

The literary theorist Harold Bloom coined the term misreading, which was first used in music analysis by Joseph Straus.¹⁰ A misreading is a work composed under the influence of an older, better-known work, whose influence is difficult to escape.¹¹ Such influence may be felt by the composer consciously or subconsciously. Straus explains that in creating misreadings, composers “assert artistic freedom from a precursor’s domination by using the precursor’s work for their own artistic ends.”¹² Composers show the influence of the older work by using features of that work in radically different ways. For example, Stravinsky’s *Serenade in A* is a misreading of Chopin’s Ballade No. 2. The former uses the same rhythms, the same melodic emphasis on the pitches A and F, similar pitch motives, and the same competing tonal centers of A and F; but all these features of Chopin’s work appear in a typical Stravinskian post-tonal environment.¹³ Straus suggests that the Ballade might have appealed to Stravinsky as a compositional model due to its unusual tonal plan: it begins in F major and ends in A minor. More generally, any virtuosic piano composition, regardless of style, exists in the shadow of the great nineteenth-century pianist-composers—Chopin and Liszt among them—whose tradition it continues, whether willingly or unwillingly. Stravinsky’s incorporation and transformation of features of Chopin’s ballades clears a space for his own work, asserting his independence from past models.

¹⁰ Harold Bloom, *The Anxiety of Influence: A Theory of Poetry* (New York: Oxford Univ. Press, 1973); and Joseph N. Straus, *Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition* (Cambridge, MA: Harvard Univ. Press, 1990). According to Bloom, authors experience the works of past masters as anxiety-producing due to those works’ dominant place in the artistic canon, and struggle to differentiate their own works from those that loom large in history. Straus summarizes Bloom’s theory of the anxiety of influence as follows: “A new poem must struggle to find a place for itself in an overcrowded literary world. To do so, it must push earlier poems aside” (*Remaking the Past*, 13). Straus documents Stravinsky’s, Schoenberg’s, and Webern’s ambivalent relationship with musical tradition on pp. 5–8, and shows that these composers’ attitudes towards past compositions exhibit the sort of anxieties described by Bloom. For another view on how Bloom’s ideas can be applied to music analysis, see Kevin Korsyn, “Towards a New Poetics of Musical Influence,” *Music Analysis* 10/1–2 (1991): 3–72.

¹¹ The term “misreading,” as it is used here, does not mean that an author or composer has read another work incorrectly. As Straus observes: “Misreadings are *not* failed or inadequate interpretations. In fact, misreadings are usually the most interesting interpretations” (*Remaking the Past*, 14, italics in original). Therefore the prefix “mis-,” with its negative connotation, is an unfortunate choice for this term.

¹² Straus, *Remaking the Past*, 14.

¹³ Straus discusses these two works in *Remaking the Past*, 149–155.

FIGURE 2. Opening horn melody from Brahms's Trio, Op. 40, first movement



As *Twilight Music* is Harbison's misreading of Brahms's Trio, a full discussion of Brahms's Trio will be helpful in understanding *Twilight Music*. Brahms wrote the Trio in 1865. In the mid-nineteenth century, horn players were expected to be able to play two instruments, the older hand horn, without valves, and the modern valve horn, a recent invention at the time. Brahms, a former horn player, preferred the hand horn and wrote the Trio with that instrument in mind. He took advantage of a unique feature of the hand horn: its great variety of tone color. Pitches from the harmonic series played on the hand horn require no modification from the performer and thus have the characteristic horn sound. The performer can play notes between those of the harmonic series by closing off the bell to various degrees with the hand, similar to the modern technique of a stopped horn. The resulting sound ranges from muffled in soft passages to piercing in loud ones, and can provide dramatic contrasts with notes from the harmonic series. Hornists refer to these two types of notes as open and stopped.¹⁴

Figure 2 shows the first horn melody from the Brahms's first movement. Open notes in this key are members of the harmonic series whose fundamental is $E\flat_1$, two and a half octaves below middle C. For example, the first two notes, $B\flat$ and F, are open, while the $E\flat$ is stopped. These three notes form two motivic intervals that appear throughout the Trio: a perfect fifth and

¹⁴ For a full presentation of Brahms's uses of various characteristics of the hand horn, see Peter Silberman, "Brahms's Use of the Hand Horn in the Trio, Op. 40," *Horn Call* 38/2 (2008): 49–54.

FIGURE 3. Other horn melodies in Brahms's Trio, with ic5 and ic1 motives identified

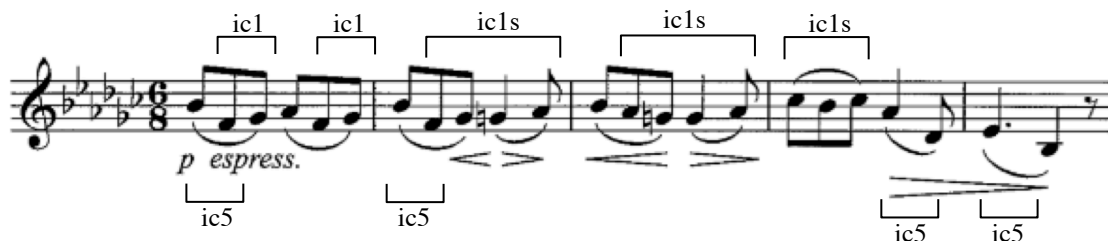
(a) first movement, mm. 178–181



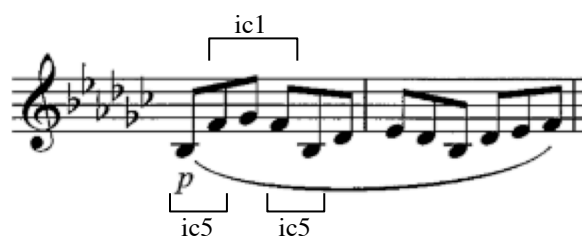
(b) second movement, mm. 81–84



(c) third movement, mm. 5–9



(d) third movement, mm. 19–20



(e) fourth movement, mm. 8–12

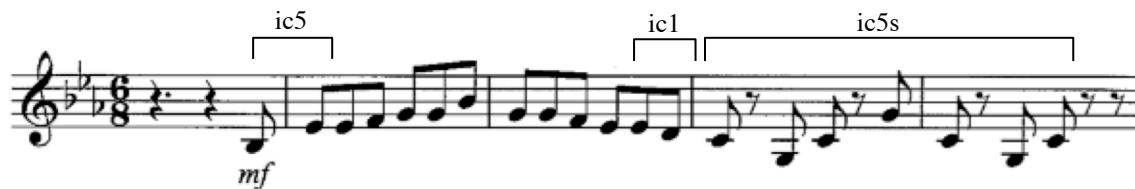


FIGURE 4. Form diagram of *Twilight Music*'s first movement

Section:	A	B	Development	A'	B'
Measure:	1	20	34	57	74

a semitone. Figure 3 shows subsequent horn melodies from all four of the Trio's movements, with the two intervals identified. Sometimes the perfect fifth appears as a perfect fourth, so I've labeled it as ic 5 (interval class 5), and the semitone as ic 1. The harmonic series abounds with open ic 5s but contains few ic 1s, which usually must feature a stopped note. Thus these motivic intervals highlight the contrast of open and stopped sounds.

Recent composers, Harbison included, pay tribute to Brahms's work by using the same intervallic motives. The first movement of Harbison's *Twilight Music* contains a subtle interaction of these two intervals, recalling Brahms's Trio but updating it to the late twentieth century. The movement is written in a sort of sonata form (a form that recalls the nineteenth century), having two sections that I will call *A* and *B*, which appear both before and after a central development section. Figure 4 shows a diagram of the form of this movement, listing the names of sections and the measure numbers in which they begin. Figure 5 shows the score of the entire *A* section. The horn part is written for horn in F, and sounds a perfect fifth lower than written.

The violin melody of the *A* section contains numerous (014) trichords. I've circled just a few of them on the score. This trichord appears frequently in Harbison's work, as noted by Amy Carr-Richardson.¹⁵ Of greater interest is the trichord formed when the horn enters in m. 3, shown in Figure 5 in a box. Here the horn plays an ascending perfect fifth, reminiscent of the opening of

¹⁵ Amy Carr-Richardson, "Feminist and Non-Western Perspectives in the Music Theory Classroom: A Study of John Harbison's 'Mirabai Songs,'" *College Music Symposium* 42 (2002): 20–36. Pitch-class set saturation is common in Harbison's music. For example, Keith Waters identifies recurrent members of set-class (026) in the fourth movement of Harbison's Symphony No. 1 (see Waters, "Introducing Pitch-Class Sets in the Music of Coltrane and Harbison," *GAMUT: The Journal of the Georgia Association of Music Theorists* 9 [1999]: 83–89).

FIGURE 5. *Twilight Music*, first movement, A section
Members of set class (014) are circled; members of set class (016) are enclosed in boxes and a triangle

The musical score is for the first movement, A section of *Twilight Music* by John Harbison. It features Violin and Horn (T) parts. The tempo is marked "Con moto, flessibile" with a tempo of ca. 115 (cedendo tempo). The score includes various dynamics such as *p*, *mf*, *f*, *pp*, and *sf*. There are also markings for "con sordino" and "senza sordino". The score is divided into measures, with some measures numbered (6, 11, 16). Annotations for set classes (014) and (016) are present, with members of (014) circled and members of (016) enclosed in boxes and a triangle. The score includes markings for "ritardando" and "rall.". The Violin part starts with a circled trichord (014) and a boxed trichord (016). The Horn part starts with a boxed trichord (016). The piano part starts with a boxed trichord (016) and a triangle trichord (016).

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the Brahms Trio. The violin's E \flat provides the other prominent interval from the Trio, the semitone, clashing with the horn's initial concert D. The three notes combined form a (016) trichord, created by an ic 1, an ic 5, and a new ic, 6. This unresolved sustained tritone signals a post-tonal

rather than tonal environment, thus updating Brahms's motivic ideas to the twentieth century. The (016) trichord appears several times thereafter, most notably as a cadential harmony at phrase endings in mm. 7, 11, and 14, as shown in the example also in boxes and a triangle.¹⁶ Further, it is a component of the piano chord in m. 18 that ends this section, in which it appears as a verticality.

The opening melodic motive of Brahms's Trio thus appears in another guise in *Twilight Music*: as a verticality. In the nineteenth-century work, this motive appears as a melody; in the twentieth-century work it appears as a chord that would be out of place in a tonal composition. Although the interval content of both appearances is the same, suggesting the influence of the earlier work on the later one, the way the intervals are used is a marker of the different styles in which the works were written. Joseph Straus calls this process *generalization*, which he describes as an instance in which "[a] motive from the earlier work is generalized into the unordered pitch-class set of which it is a member. That pitch-class set is then deployed in the new work in accordance with the norms of post-tonal usage."¹⁷ Generalization is a common technique used in post-tonal misreadings of common-practice tonal works. The employed motive refers back to an earlier work, yet at the same time the post-tonal composer asserts freedom from the stylistic constraints of common-practice harmony by employing the motive in a manner that breaks free from those constraints, thereby "assert[ing] artistic freedom from a precursor's domination."¹⁸

¹⁶ A different combination of ics 1 and 5 appears at a phrase ending in mm. 16 and 17 (concert pitches G[♯] and C[♯] in the horn combined with C[♯] in the violin), producing a member of set class (015).

¹⁷ Straus, *Remaking the Past*, 17. For further examples of how later composers use tonal motives in a post-tonal fashion, see Joseph N. Straus, "Recompositions by Schoenberg, Stravinsky, and Webern," *Musical Quarterly* 72/3 (1986): 301–328, which describes how Schoenberg, Stravinsky, and Webern added or emphasized non-triadic motives when rewriting works by, respectively, Handel, Pergolesi and others (in *Pulcinella*), and Bach.

¹⁸ Straus, *Remaking the Past*, 14.

FIGURE 6. *Twilight Music*, first movement, beginning of B section
Member of set class (016) in a box; members of set class (0347) circled

2/4 a tempo

mf mp f

col pedale sempre

ic1 ic1s ic1 ic1

*

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Later sections use the ics 1, 5, and 6 in different ways, creating two new motivic tetrachords: (0347), which contains ics 1 and 5 but not ic 6, and (0236), which contains ics 1 and 6 but not ic 5. Also, each succeeding section responds to the previous one, either by supplying the ic that has been omitted from a prominent tetrachord in the previous section, or, in the final section, by combining all three ics into a tetrachord. The interplay of ics creates a sort of progression from one section to the next, starting with a trichord containing the three prominent ics, through tetrachords containing two, and culminating in a tetrachord in which the three ics are reassembled in an interesting way. The following describes this progression.

Figure 6 shows the beginning of the *B* section. I have identified ics 1 and 5 in the violin part, along with a (016) trichord, which is boxed. A new set class emerges as an accompaniment. The piano plays multiple members of tetrachord (0347), circled, another frequent chord in Harbison's works.¹⁹ Set class (0347) contains ics 1 and 5 but is missing ic 6, prominent earlier. The

¹⁹ Frequent appearances of members of set class (0347), in Harbison's *Mirabai Songs*, have been noted in Carr-Richardson, "Feminist and Non-Western Perspectives"; Adrian Childs, "Cracks in the Mirror: Harmonic Implications of Near-Symmetries in the Music of John Harbison," paper presented at the 29th Annual New Music Festival, Bowling Green (OH) State Univ., 2008; and Barbara Bonous-Smit, "John Harbison's 'Mirabai Songs': Religion,

FIGURE 7. *Twilight Music*, first movement, beginning of development
members of set class (0236) are circled; members of set class (016) are in boxes

The musical score shows the beginning of the development section of 'Twilight Music'. It consists of three staves: Violin, Horn, and Piano. The music is in G major and 3/4 time. The tempo is marked 'a tempo, movendo'. The score includes dynamic markings (f, mf, mp, p) and articulation (accents). Set class (0236) members are circled, and set class (016) members are boxed. The score includes the following markings: 'cedendo', 'a tempo, movendo', 'ic1', 'mf', 'mp', 'f', 'p', 'animato, movendo', and 'cedendo'.

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members of set class (0347) are written as two melodic lines, the lower of which plays an ic 5 while the upper plays an ic 1. Those two intervals are most noticeable in m. 25, at the asterisk.

Figure 7 shows the opening of the development, which is based primarily on material from the *B* section. The violin and horn play in double octaves accompanied by the piano. Numerous ic 1s appear in the violin and horn parts, as do several ic 5s, many of which appear

Ritual, Love and Eroticism," *Tempo* 62/246 (2008): 22–34. Childs also describes the use of this set class in *Twilight Music*, and in the fourth movement of Harbison's Second Piano Sonata. Jerome R. Markoch discusses Harbison's use of other inversionally symmetrical set classes in *Music for Eighteen Winds*, in Markoch, "Analysis: 'Music for Eighteen Winds,' by John Harbison," *Journal of Band Research* 30/2 (1995): 1–26.

FIGURE 8. *Twilight Music*, first movement, beginning of the return of the A section
Members of set class (016) are in boxes; a member of set class (0347) is circled

The musical score is divided into two systems, measures 55-60 and 60-65. The top system (measures 55-60) shows the violin, horn, and piano parts. The violin part has a box around a group of notes (set class 016) and a circled note (set class 0347). The horn part also has a box around a group of notes. The piano part has a box around a group of notes. The bottom system (measures 60-65) continues the violin, horn, and piano parts. The violin part has a box around a group of notes (set class 016) and a circled note (set class 0347). The horn part also has a box around a group of notes. The piano part has a box around a group of notes. The score includes various musical markings such as 'A tempo', 'cadendo', 'tempo', 'open str.', 'con sord.', 'sf', 'p', 'mp', 'pp', 'vib.', and 'grazioso'.

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later in the section and are not shown in the example. The piano introduces a new set class, (0236), circled, containing several ic 1s and, instead of ic 5, an ic 6, providing the interval from the initial (016) that was missing from the (0347) chords of the previous section.

Figure 8 shows the return of the A section. The violin and horn switch parts from the beginning of the work; that is, the violin now plays the ascending perfect-fifth cadential gesture, creating set class (016)s with the sustained horn note. Extra perfect fifths (ic 5s) now appear in the violin, as if to make up for their relative scarcity in the preceding development. The piano plays one (0347) tetrachord, the last of its type in the movement.

82

poco rit. Presto,

mp

poco rit. Presto,

pp

attacca

[illegible]

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of set class (016)—that is, there are three distinct (016)s embedded in any (0167)—and this trichord refers to the opening set class derived from Brahms's Trio.

Figure 10 shows the progression of prominent set classes throughout the first movement of *Twilight Music*, along with their source in Brahms's Trio, represented by their first appearance in each section. The opening motive from the Trio, containing ics 1, 5, and 6, is generalized into a motivic (016) trichord in the opening section of *Twilight Music*'s first movement. The ics 1 and 5 are recombined to form members of set class (0347) in *Twilight Music*'s *B* section, and then ics 1 and 6 form members of set class (0236) in the development. (016) trichords return in section *A'*. The recombination of motivic ics culminates in a sort of summary chord in section *B'*, in which the final harmony, a member of set class (0167), is as packed as much as possible with important set classes and interval classes.

In the first movement of *Twilight Music*, Harbison misreads Brahms's Trio through the process of generalization, in which tonal material from a specific common-practice work is employed in a post-tonal fashion in a later work written under the influence of the earlier one. Here, Harbison selects intervals from the primary motive of the Trio, which not only permeates Brahms's work but emphasizes the different tone colors of the hand horn as well. Harbison compresses what was originally a melodic motive into a post-tonal harmony, turning a tonal melodic motive into a post-tonal harmonic one. The same two ics, 1 and 5, are used throughout the movement in different combinations, creating several set classes that would be out of place in a common-practice composition but are typical of music in Harbison's style. Finally, Harbison employs the two Brahms-derived ics to create another ic, 6, that does not appear prominently in the Trio. Interval-class 6 assumes a more prominent role as *Twilight Music*'s first movement progresses. The last chord of the movement unites all three motivic ics, linking Brahms's Trio

with the late twentieth century, and showing Harbison's indebtedness to—but independence from—Brahms's work.

II. *GATSBY ETUDES*

The three *Gatsby Etudes*—"Parlors," "Parties," and "The Green Light"—are rearrangements for piano of excerpts from Harbison's opera *The Great Gatsby* (1999), based on F. Scott Fitzgerald's novel.²⁰ The novel and opera take place in the early 1920s, and Harbison evokes that era by writing pastiches of 1920s pop songs that appear throughout the opera interspersed with music in his own style.²¹ Harbison explains:

In the opera *The Great Gatsby*, five songs are sung in the course of small or large gatherings, either over the radio or live by a Band Vocalist. These songs, with lyrics by Murray Horwitz, bear a resemblance to popular songs from the 1920s, but also share musical elements with the score as a whole. A number of other songs appear in the opera as instrumentals only.²²

Harbison published these thirteen songs separately as *Gatsby Songs*, in which Horwitz wrote additional lyrics for the songs that originally appeared as instrumentals.²³

The *pastiche* is the second category of musical borrowing found frequently in Harbison's music. A pastiche is an imitation of earlier music in which the composer writes in an older style. Frederic Jameson defines pastiche, distinguishing it from parody, as "the imitation of a peculiar or unique style . . . [that] is a neutral practice of such mimicry, without parody's ulterior motive, without the satirical impulse, without laughter, without that still latent feeling that there exists

²⁰ Harbison's other works that draw on material from *The Great Gatsby* include *Remembering Gatsby* (Foxtrot for Orchestra) (written in 1985 and later used as the opera's overture), *Gatsby Songs*, and *The Great Gatsby Suite*.

²¹ In addition, in *The Great Gatsby*, Harbison quotes Mendelssohn's *Wedding March*, then follows it with a jazz version.

²² John Harbison, "Preface" to *Gatsby Songs, from the Opera The Great Gatsby* (New York: Associated Music Publishers, 1999), 1.

²³ For more about these songs, including information about the collaboration of composer and lyricist, see Mario R. Mercado, "Green Light for Gatsby," *Opera News* 63/12 (1999): 22–27.

something *normal* compared to which what is being imitated is rather comic.”²⁴ In other words, a pastiche is a straightforward and sincere imitation rather than one that exaggerates characteristic features of whatever is being imitated for comic or satirical effect. A pastiche can be an homage, an act of nostalgia (in this respect, Jameson cites nostalgic films such as *American Graffiti* as examples), a programmatic device, or it can have other meanings. A well-known musical example of a pastiche is Prokofiev's *Classical Symphony*, written in a modified eighteenth-century style but lacking the satirical outlook of some of Prokofiev's other works.

Many of Harbison's jazz-influenced works contain pastiche passages written in various jazz styles that contrast with surrounding non-jazz sections. These passages are never written in a contemporary jazz style but instead imitate earlier styles, often big band swing, perhaps expressing nostalgia for the popular music of Harbison's childhood. Notable examples of his jazz pastiches occur in *The Great Gatsby*. The opera retains the novel's setting in 1920s Long Island. Most of the opera's music is written in Harbison's post-tonal idiom, but the 1920s are evoked by an on-stage jazz band and a radio (whose broadcasts are performed by the pit orchestra) that play pastiches of popular songs of the time.

Martin Brody, drawing on work by Carolyn Abbate, delineates two types of music in *The Great Gatsby*. *Phenomenal music* is “produced ‘by or within the stage world,’ unambiguously accessible to an opera's characters because its performance is realistically staged.” In contrast, *nuomenal music* is “‘for our ears alone,’ which ‘emanates from other loci,’ generally the pit orchestra or the voices of singers (who are, in terms of the stage conventions of the drama,

²⁴ Frederic Jameson, “Postmodernism and Consumer Society,” in *Postmodernism and Its Discontents: Theories, Practices*, ed. E. Ann Kaplan (London: Verso, 1988), 16. A similar definition appears in Helen Smith, “The Art of Glorification: A History of Pastiche, and Its Use Within Sondheim's *Follies*,” *British Postgraduate Musicology* 2 (1998): 24–31. Smith also observes that some pastiches evoke not just an earlier time but also a location. She discusses the songs in Kander's and Ebb's musical *Cabaret* as an example of pastiches that suggest both a time and a place—in this case, early 1930s Berlin.

unaware that they are singing).”²⁵ In *The Great Gatsby*, the phenomenal music is that written in the 1920s idiom. Characters in the opera hear this music from a radio and from an onstage band and singer, and sometimes sing along with it. The nuomenal music, transparent to the onstage characters, is written in Harbison’s own style. The phenomenal music is tonal, the nuomenal post-tonal.

Harbison’s pastiches in *The Great Gatsby* help create a sense of time and place, recreating the novel’s setting in Long Island of 1922. Helen Smith views pastiches as evoking not just a style but sometimes a location as well. She writes: “pastiche, which, through its use of another composer’s genuine style in a sincere manner, is used as a method of evoking an earlier time, and occasionally an accompanying location, through the associations that can be made through the identification of the elements of style of that earlier composer.”²⁶ The titles of the individual *Gatsby Etudes* suggest more specific locations related to the opera’s plot: “Parlors” suggests the interior of Gatsby’s mansion, “Parties” the grounds surrounding Gatsby’s mansion, and “The Green Light” the dock in front of Daisy and Tom Buchanan’s house, on which the green light is located.

Smith divides pastiches into two categories. *Static pastiches* “remain in the same location or period . . . [and] establish and maintain the atmosphere and manner of the designated setting.”²⁷ *Narrative pastiches* “employ pastiche as a medium for indicating the passage of time, when the action moves through the years, or sometimes even through decades.”²⁸ While Harbison’s pastiches in *The Great Gatsby* belong to the first category, their juxtaposition throughout

²⁵ Martin Brody, “‘Haunted by Envisioned Romance’: John Harbison’s *Gatsby*,” *Musical Quarterly* 85/3 (2001), 421. Interior quotes from Carolyn Abbate, *Unsung Voices: Opera and Musical Narrative in the Nineteenth Century* (Princeton: Princeton Univ. Press, 1991), 119.

²⁶ Smith, “The Art of Glorification,” 25.

²⁷ Smith, “The Art of Glorification,” 25–26.

²⁸ Smith, “The Art of Glorification,” 26.

the opera with late-twentieth-century post-tonal music touches on the second category. Although the events in the opera take place during a few days only, the presence of both types of music serves to highlight the distance between our time and that of the opera's setting. Martha Hyde describes just such a situation when she writes of music that "involves deliberate dramatization of historical passage, bringing the present into relation with a specific past and making the distance between them meaningful."²⁹ The modern listener's awareness of the distance between the present and the opera's setting echoes Gatsby's desire to go back in time to rekindle his romance with Daisy.

"Parlors" and "Parties" both employ clichés of early twentieth-century ragtime. Figure 11 shows mm. 14–29 of "Parties," which is a more straightforward pastiche of ragtime than "Parlors." "Parties" exhibits many of the characteristics of ragtime listed by Samuel Floyd and Marsha Reisser.³⁰ Ragtime compositions consist of several sixteen-measure sections, called *strains*, in double-period form, in which the first and third four-measure phrases are often identical (*abac*). The excerpt from "Parties" in Figure 11 exhibits this characteristic form, as shown by the letters above the staves (which denote phrases). Typically the first two or three strains of a ragtime composition remain in the tonic, while later strains appear in the subdominant. "Parties" exhibits a similar modulation scheme, as its second strain is in C major, the subdominant of the opening G major (note the new key signature at the end of the excerpt in Figure 11 and the bass descent to the new tonic).

The texture and rhythms of "Parties" also mimic those of ragtime. Floyd and Reisser call the typical "oom-pah" ragtime accompaniment "straight bass," and describe it as consisting of

²⁹ Hyde, "Neoclassic and Anachronistic Impulses in Twentieth-Century Music," 205.

³⁰ Samuel A. Floyd, Jr., and Marsha J. Reisser, "The Sources and Resources of Classic Ragtime Music," *Black Music Research Journal* 4 (1984): 22–59.

FIGURE 11. “Parties” from *Gatsby Etudes*, first strain (mm. 14–29), showing ragtime characteristics

The musical score for "Parties" from *Gatsby Etudes* (first strain, mm. 14–29) is presented in four systems. The first system (mm. 12–16) shows a piano introduction with a forte (f) dynamic. A bracket labeled "typical ragtime additive rhythm" spans measures 14–16. A box labeled "phrase form: a" encompasses measures 14–16. The second system (mm. 17–20) features a piano (p) dynamic and a crescendo (cresc.) leading to a fortissimo (sf) dynamic. The third system (mm. 21–24) continues the piano (p) and fortissimo (sf) dynamics. The fourth system (mm. 25–29) shows a fortissimo (sf) dynamic and a modulation to the subdominant key, indicated by a bracket labeled "modulation to subdominant". The score includes various musical notations such as notes, rests, and dynamic markings.

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“low-register octaves or single pitches, and . . . middle-register chords.”³¹ Straight bass appears in this excerpt as well as in much of “Parties.” The rhythmic features of this excerpt are also highly idiomatic. Floyd and Reisser note that “[t]he rhythmic structure of classic ragtime consists

³¹ Floyd and Reiser, “The Sources and Resources of Classic Ragtime Music,” 37.

“Parlors” shares some features with “Parties,” but contains post-tonal characteristics as well. While still a pastiche of ragtime, “Parlors” exhibits a skillful blending of both tonal and post-tonal material, recalling in miniature the opera’s juxtaposition of 1920s songs with post-tonal passages. As the first of the three *Gatsby Etudes*, “Parlors” announces the dichotomy of styles explored by the succeeding etudes. The second etude, “Parties,” consists primarily of ragtime. Despite containing a few vestiges of tonality, the third etude, “The Green Light,” is largely post-tonal.

In *Twilight Music*, Harbison extracts set-class motives from tonal material, and then uses them as building blocks for his composition. He follows the same procedure in “Parlors,” using three trichords found in the repeated ragtime-like fragment discussed below as the basis for further repeated fragments. Unlike in *Twilight Music*, in which the set class extracted from Brahms’s Trio was employed in an environment that sounds nothing like Brahms, in “Parlors” the set-class motives still reference ragtime and jazz when combined later in the work, and refer to characters in the opera as well. That is, post-tonal set-class manipulations give rise to music not out of place in a pastiche of ragtime.

³² Floyd and Reiser, “The Sources and Resources of Classic Ragtime Music,” 42–43.

FIGURE 12. “Parlors” from *Gatsby Etudes*, mm. 1–14, showing repeated one-measure pattern and notes that connect repetitions of patterns

I. Parlors John Harbison
1999

Allegro comodo $\text{♩} = 96$

Ab: IV7 V I

return to original pitch level

return to original pitch level

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“Parlors” is highly repetitive. Each of its four sections repeats one or two one-measure fragments at different pitch levels, with slight variations. “Parlors”’s form is *ABAC* followed by a transition to the next etude, recalling the typical ragtime form of *ABACD*. Figure 12 shows the beginning of the *A* section.³³ I have identified its repeated one-measure fragment with a box. This fragment is analyzable via Roman numerals, as shown in Figure 12, but its disjointed repetition at different pitch levels, created by repeating the last note in one iteration as the first note in the next, prevents any sense of key from emerging. (These connecting notes have been circled in Figure 12.) Thus, a tonal passage is used in a typical post-tonal fashion.

³³ The music in this section first appears in the opera in Act I, Scene 1, during a conversation between Nick, Jordan, Daisy, and Tom. It underscores the first mention of Gatsby’s name.

FIGURE 13. Intervallic and trichordal associations in *The Great Gatsby*

interval/trichord	associated with
set class (012)	Daisy, Gatsby
rising sixth	Myrtle, foxtrot
octave	Tom Buchanan
descending fourth	Gatsby's expression "old sport"

The repeated fragment brings together several motives from the rest of the opera. The first three notes, a rising chromatic figure, recall the first three melodic notes of the opera's overture. According to Brody, later in the opera this rising chromatic trichord is associated with Daisy, and then with Gatsby.³⁴ The rising minor sixth is the second and most prominent interval in the foxtrot melody that first appears in the overture and later in the opera.³⁵ The rising sixth is also associated with Myrtle, and forms much of the accompaniment to her aria "Waiting" from Act II, Scene 4.³⁶ Thus the repeated fragment succinctly refers to several aspects of the opera's plot: three of its characters (Daisy, Gatsby, and Myrtle) and its historical setting (the 1920s when the foxtrot was popular). The repeated fragment also bridges the two compositional styles featured in the opera. The chromatic figure originates in a post-tonal setting, while the rising sixth is employed in both types of music. Figure 13 shows a table that summarizes intervallic and trichordal associations in *The Great Gatsby*.

The repeated fragment discussed above also contains ragtime and jazz clichés, typical of music of the 1920s, as shown in Figure 14. The first four notes of the melody (shown in a box) are identical to the beginning of the main melody of Scott Joplin's ragtime standard *The Enter-*

³⁴ Brody, "'Haunted by Envisioned Romance.'" See Brody's discussion of the opening of the opera's Act I on 428–433.

³⁵ The foxtrot tune was published in *Gatsby Songs* as "Dreaming of You."

³⁶ The intervals associated with Tom Buchanan and Gatsby's expression "old sport" are noted by David J. Baker, "The Sound of Gatsby," *Opera News* 64/6 (1999), 41.

FIGURE 14. Ragtime and jazz clichés in “Parlors” and Joplin’s *The Entertainer*

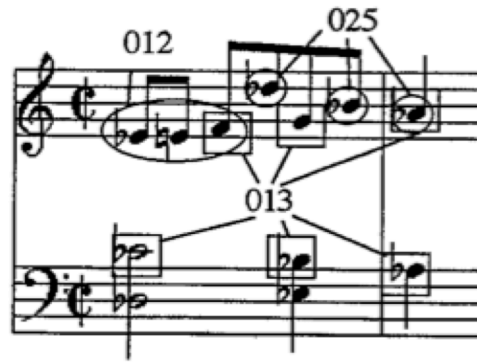
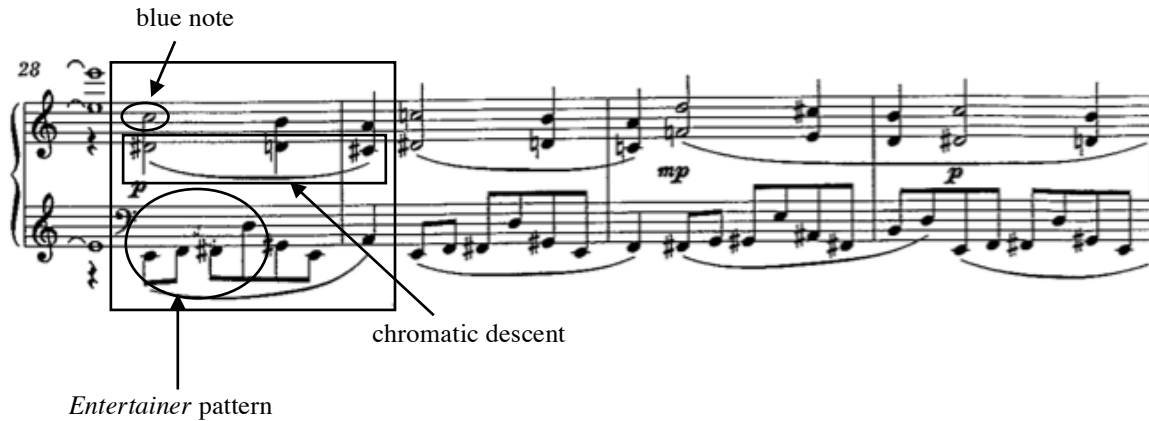
“Parlors”

*The Entertainer*

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tainer, shown below “Parlors” in Figure 14. This four-note pattern is so common in ragtime that Floyd and Reisser include it in their list of “compositional complexes,” which they define as characteristic “small units from which ragtime compositions grow.”³⁷ Also in “Parlors”’s

³⁷ Floyd and Reiser, “The Sources and Resources of Classic Ragtime Music,” 46. Floyd and Reisser mention two other rags built from the same compositional complex: Scott Joplin’s *Paramount Rag* and Joseph Lamb’s *Sensation Rag*. The rising sixth alone is a common ragtime motive. Drew Massey discusses the rising sixth’s use in Joplin’s rag *Elite Syncopations* (see Massey, “Unifying Characteristics in Classic Ragtime,” *Indiana Theory Review* 22/2 [2001]: 27–50). This typical ragtime interval’s association with Myrtle is fitting, as Myrtle and her husband have the lowest social standing of any of the opera’s characters; low-class characters sing low-class music. Brody describes Myrtle’s music as “grittier, more overtly sexual, darker in tessitura, and lower-pitched in the class spectrum” (“Haunted by Envisioned Romance,” 454).

FIGURE 15. “Parlors”: motivic trichords in repeated one-measure fragment**FIGURE 16.** “Parlors”: beginning of B section

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repeated fragment, the first note in the middle voice (circled) acts as a blue note, lowered $\hat{3}$, contrasting with the implied major mode of the passage. The blue note recalls blues and jazz, typical 1920s musical styles.

Figure 15 shows “Parlors”’s opening one-measure fragment separated into four voices. The chromatic motive in the middle voice (circled), associated with Daisy and Gatsby, is a member of set class (012). The uppermost voice (also circled) is a member of set class (025). The tenor voice, containing the blue note, belongs to set class (013), and is mirrored by the alto’s continuation after the (012) trichord. Notes of the (013) trichords are enclosed in boxes. These

FIGURE 17. Two cadences from Joplin's *Maple Leaf Rag*, showing descending chromatic lines(a) mm. 60–64: scale degree $\hat{5}$ to $\hat{3}$ (b) mm. 76–80: scale degree $\hat{6}$ to $\hat{3}$ 

two members of set class (013) display an inversive symmetry typical of Harbison's music.³⁸

These trichords will be shown below to recur as building blocks of later sections of "Parlors."

Figure 16 shows a portion of the next section of "Parlors," section *B* (mm. 28–48), which, like section *A*, contains a repeated one-measure fragment (shown in a box).³⁹ The *Entertainer* pattern, seen at the outset of section *A*'s repeated fragment, also appears in this new, repeated fragment in the bass (circled), as does a blue note, the $C\flat$ in the top voice (also circled), which clashes with the later $C\sharp$. The middle voice, $D\sharp$, $D\flat$, and $C\sharp$ (boxed), coupled with a tonic of *A* implied by the last chord in the pattern, refers to yet another ragtime cliché: a descending inner-

³⁸ Harbison discusses his penchant for melodic lines related by inversion, and provides several examples from his works, in John Harbison, "Symmetries and the 'New Tonality,'" *Contemporary Music Review* (1992) 6/2: 71–79. For similar examples, see also Childs, "Cracks in the Mirror"; and Christopher Segal, "K-nets, Inversion, and Gravitational Balance," *Theory and Practice* 35 (2010): 119–145.

³⁹ This figure appears in Act 1, Scene 1, of the opera, and notably precedes Daisy's aria "Where Is the Old Warm World?"

FIGURE 18. “Parlors”: motivic trichords in B section

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voice chromatic line ending on $\hat{3}$, common at cadences at the ends of strains in rags.⁴⁰ Figure 17 shows two such cadences from Joplin's *Maple Leaf Rag*, with notes of each descending chromatic line circled. Despite exhibiting ragtime references, the *B* section's repeated fragment also contains two of the set-class motives from section *A*, showing a post-tonal structure hidden beneath the ragtime surface. Figure 18 shows two of the trichords from section *A* reappearing in section *B*: one (013) and two (012)s. Further, the inversive symmetry shown in Figure 15 is evident here as well, between the two members of set class (012).

The first section of “Parlors” reappears and then is followed by a third section. Figure 19 shows two passages from the third section, each including yet additional repeated one-measure fragments (enclosed in boxes). The trichords that underlie previous repeated fragments appear here as well. The first fragment contains the motivic trichord (025), while the second, reminiscent of the fragment that begins the *A* section, contains expanded versions of the other two motivic trichords, (012) plus one extra note, and (013) plus one extra note. The ragtime-related minor sixth is present in the second fragment, now descending, and is further referenced by the interval of transposition, T_8 , that relates the middle-voice (013) to the lower one. Additionally,

⁴⁰ Edward A. Berlin discusses this ragtime characteristic and illustrates it with excerpts from several of Joplin's rags; many of these examples move from $\hat{5}$ to $\hat{3}$. See Berlin, *Reflections and Research on Ragtime* (Brooklyn: Institute for Studies in American Music, 1987), 8–14.

FIGURE 19. "Parlors": beginning of third section, showing motivic trichords, a significant transposition, and the B section's descending chromatic line

The figure displays a musical score for the piece "Parlors". The top system shows measures 65 and 69. Measure 65 is marked with *f* and *p* dynamics. Measure 69 is marked with *f*, *p*, *stacc.*, *mp sf*, *sf*, and *p* dynamics. A box highlights a trichord in measure 69, which is expanded in a separate diagram below. This diagram, labeled "C section, measure 69 - trichords expanded", shows the trichord in context with the notes 012 + one note and 013 + one note. The bottom system shows the beginning of the third section, marked with *f* and *p* dynamics. A box highlights a trichord in measure 65, which is expanded in a separate diagram below. This diagram, labeled "C section, measure 65", shows the trichord in context with the notes 025.

C section, measure 65

C section, measure 69 - trichords expanded

012 + one note

013 + one note

025

(continued on next page)

FIGURE 19. (continued)

Figure 19 (continued) displays two musical excerpts from John Harbison's *Gatsby Etudes*. The top excerpt, labeled '69', shows a piano part with a circled interval labeled 'min. 6th' and a 'stacc.' marking. The bottom excerpt, also labeled '69', shows a piano part with a circled descending chromatic line labeled 'desc. chromatic line' and a 'stacc.' marking. A bracket labeled 'T8' connects the two excerpts.

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the descending chromatic line from the *B* section's fragment appears in the second fragment's uppermost voice.

As in *Twilight Music*, in "Parlors" tonal material is generalized into post-tonal set classes, which are then used to create the rest of the work. However, as "Parlors" is a pastiche and not a misreading, its post-tonal material participates in a rich web of meaning related to the *Great Gatsby's* setting. Motivic post-tonal set classes combine and recombine to create material typical of ragtime and 1920s popular music, linking our time with the era of the novel, while also referring to characters from the opera. Unlike in *Twilight Music*, in which tonal source material is transformed into an entirely post-tonal language, in "Parlors" tonal and post-tonal materials are intertwined, acting in tandem throughout the work.

III. *NOVEMBER 19, 1828*

November 19, 1828, for piano and string trio, was written in 1988. The title of this work refers to Schubert's death date. The work consists of four movements, titled respectively "Schubert crosses into the next world," "Schubert finds himself in a hall of mirrors," "Schubert recalls a rondo fragment from 1816," and "Schubert continues the fugue subject that Sechter assigned him." Fragments of common-practice tonality appear throughout the four movements, but are subject to post-tonal transformations. Much of the first movement is triadic, but triads are juxtaposed in a manner that defies conventional analysis. The second movement consists of a theme and several variations in the styles of Schubertian character pieces (*écossaise*, *moment musical*, *impromptu*, and *waltz*), but in each passage every musical idea is immediately repeated in pitch-space inversion, producing a post-tonal composition that illustrates the titular hall of mirrors. In the last movement, Harbison writes two fugues, one tonal and one post-tonal, both using the fugue subject that the pedagogue and theorist Simon Sechter assigned Schubert during Schubert's counterpoint lesson with Sechter a few days before the composer's death.⁴¹ In each movement, Harbison skillfully unites tonal and post-tonal material. He writes: "The piece asserts Schubert's relevance to our present rather than any nostalgia for the past."⁴²

My analysis will focus on the third movement, a rondo that alternates a fragment by Schubert—the Allegretto in C Major, D. 346—with passages by Harbison. Harbison also slightly alters later appearances of Schubert's fragment.⁴³ At the outset of the movement, Harbison

⁴¹ The first few notes of this fugue subject spell the beginning of Schubert's name: E \flat (= "Es"), C, B (= "H"), B \flat (= "B"), and E. Harbison found the subject in Alfred Mann, *Theory and Practice: The Great Composer As Student and Teacher* (New York: W. W. Norton, 1987), 150–151.

⁴² John Harbison, "Preface" to *November 19, 1828* (New York: Associated Music Publishers, 1992).

⁴³ I do not hear "Schubert recalls a rondo fragment from 1816" as a misreading. All of the misreadings discussed by Straus rework material from earlier compositions in the style of the later composer—including Harbison's *Twilight Music*, discussed above. Although Harbison rewrites Schubert's composition in "Schubert recalls . . .," the

quotes Schubert's unfinished work in its entirety. Harbison writes: "Emblematic of a storehouse of ideas which are still to be explored, perhaps even in future times, the short fragment that begins this Rondo is the only one in this piece composed by Schubert in his first life."⁴⁴

The third movement of *November 19, 1828* illustrates the third category of borrowing in Harbison's music: *quotation*, in which the composer incorporates a recognizable passage from another work. Quotations may be presented with or without alteration, but in either case enough of the quoted material's identity is preserved so that the work from which it is taken can be ascertained.⁴⁵ In many instances, quotations are meant to be noticed by the listener. The listener's presumed knowledge of the source of the quotation adds meaning to the work in which the quotation appears.

As observed by Burkholder, quotations are often melodic (as for example Ives's quotations of patriotic and hymn tunes), although some quotations include accompanying material or consist of rhythm alone. Burkholder also states that a quotation is "not part of the main substance of the work, as it would be if used as a cantus firmus, refrain, fugue subject or theme in variations or other forms."⁴⁶ However, quotations are not always unconnected from surrounding material. They can share motives and/or prominent pitch classes with original material or with other quotations. Alternately, quotations can add pitch classes not present in previous passages, sometimes assisting in filling in the total chromatic. Finally, quotations can overlap with other

rewritten material is still close enough to Schubert's style to sound like music by Schubert, rather than music by Harbison. Thus Harbison's rewrites of Schubert are not Harbison-like enough to "assert artistic freedom from a precursor's domination" per Straus's definition of misreading (*Remaking the Past*, 14).

⁴⁴ Harbison, "Preface" to *November 19, 1828*.

⁴⁵ For example, Ives altered many of the popular tunes that appear in his works. For an explanation of how Ives transformed the pitch content of quoted diatonic tunes, see Timothy A. Johnson, "Chromatic Quotations of Diatonic Tunes in Songs of Charles Ives," *Music Theory Spectrum* 18/2 (1996): 236–261.

⁴⁶ J. Peter Burkholder, "Quotation," in *Grove Music Online*, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/52854>>, accessed 13 June 2013.

FIGURE 20. *November 19, 1828*: form of third movement
(In the score, measures are numbered from the beginning of the first movement.)

Section	S1	H1	S2	H2	S3	H3
Measures	166–208	209–239	240–280	281–322	323–361	362–410
Composer/style	Schubert's original	Harbison	Schubert altered by Harbison	Harbison	Schubert altered by Harbison	Harbison

material (appearing simultaneously), including with other quotations.⁴⁷

In addition to quoting Schubert's work in *November 19, 1828*, Harbison recomposes the quotation for programmatic effect, as I will show below. During the course of the movement, Schubert's fragment returns twice, each time altered by Harbison. In between, Harbison writes passages in his own style that provide extreme contrast with Schubert's fragment while interacting with it in significant ways. The movement ends with one of Harbison's passages. Figure 20 shows the form of the entire movement. I have labeled Schubert's original composition "S1," and the two later rewrites by Harbison "S2" and "S3." I have labeled the sections written entirely by Harbison as "H1," "H2," and "H3."

Harbison's alterations of Schubert's fragment have an uncanny feel to them, fitting for a work that contains expressive markings such as "haunted," "desolate," and "dark." Michael Klein, in a chapter on the uncanny in music, quotes Freud's definition of the uncanny: "that class of the terrifying which leads back to something long known to us, once very familiar."⁴⁸ Accord-

⁴⁷ For a full discussion of the interactions between quoted and original material, see Losada, "The Process of Modulation in Musical Collage," and "Between Modernism and Postmodernism." In both articles, Losada investigates connections between successive quotations in musical collage, a technique in which multiple quotations are juxtaposed. Her findings also apply to the interaction of a single quotation with the original material that surrounds it.

⁴⁸ Sigmund Freud, "The 'Uncanny,'" in *On Creativity and the Unconscious: Papers on the Psychology of Art, Literature, Love, Religion*, selected, with introduction and annotations, by Benjamin Nelson, translated by Alix Strachey (New York: Harper, 1958), 123–124; as quoted in Michael L. Klein, *Intertextuality in Western Art Music* (Bloomington: Indiana Univ. Press, 2005), 78.

FIGURE 21. Schubert, *Allegretto* in C, D. 346, showing neighboring motion, chromatic notes, and key areas

166 *Allegretto* ♩ = 112 - 120
* (*poco stacc.*)

Piano *pp*

Key: C

(*legato*)

171

Pno.

176

Pno.

pp

181

Pno.

pp

187

Pno.

191

Pno.

cresc. (*cresc.*)

N

N

N

G

e

C

(continued on next page)

FIGURE 21. (continued)

The musical score for Figure 21 (continued) consists of two systems. The first system, starting at measure 197, features a piano (Pno.) part with a treble and bass staff. The right hand has a melodic line with a slur over measures 197-200, and the left hand has a bass line with a pedal point. Two measures (197 and 200) are boxed and labeled with 'N'. The second system, starting at measure 202, features a violin (Va.) part and a piano (Pno.) part. The violin part has a slur over measures 202-205, with a 'pp non stacc.' marking at the end. The piano part has a treble and bass staff, with a '(f)' marking at the beginning and a 'p' marking in the middle. Two measures (202 and 203) are boxed and labeled with 'N'. The piano part also has a 'pp' marking at the end. Chromatic notes are circled in the piano part of the second system.

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ing to Freud's definition, the familiar becomes uncanny through reappearance in an unfamiliar way, thus being "once very familiar" but no longer. In *November 19, 1828*, the "familiar"—Schubert's fragment—becomes defamiliarized. Its reappearances are altered by Harbison so that the once-familiar fragment, while still recognizable, no longer sounds like music by Schubert.

Figure 21 shows Schubert's fragment with annotations. Measures 170, 174, 187, 189, 197, and 201 contain harmonic neighboring motion over a pedal, surrounded by boxes and marked with the letter "N." In each measure, $\hat{1}$ and $\hat{3}$ of the local tonic are neighbored by $\hat{2}$ and $\hat{4}$. Measures 175, 176, 202, and 203 contain prominent chromatic notes, which I have circled. All of these chromatic notes are highlighted by the accented, high melodic note that occurs simultaneously with them. Finally, observe that this fragment modulates from C major to E minor to G major, then back to C, briefly touching on E minor again along the way; these key areas outline the tonic triad. Each of these features—neighboring motion, chromatic notes, and a harmonic

FIGURE 22. *November 19, 1828*: beginning of section H1

neighboring motion in pitch-class space

mf passionate, intense

ostinato

completes the aggregate

mf passionate, intense

mp

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plan based on thirds—is preserved in Harbison’s rewritten versions, but each is altered in such a way as to blur the sense of tonality in Schubert’s original.

An entirely post-tonal passage, H1, connects Schubert’s fragment (S1) with Harbison’s recomposition (S2).⁴⁹ Figure 22 shows the beginning of section H1, which interacts with Schubert’s original in several ways.⁵⁰ It continues the E/G ostinato from Schubert’s fragment,

⁴⁹ I will not discuss sections H2 and H3, which are similar to section H1 and add few significant features.

⁵⁰ Harbison’s post-tonal passage that follows Schubert’s fragment intensifies the uncanny nature of this movement. Michael Cherlin has quoted a passage by Freud that defines the uncanny differently, as “something repressed that *recurs* . . . irrespective of whether it originally aroused dread or some other affect. [. . . T]his uncanny is in reality nothing new or foreign, but something familiar and old established in the mind that has been estranged only by the process of repression.” (Sigmund Freud, “The ‘Uncanny,’” in *Collected Papers*, authorized translation under the supervision of Joan Riviere [New York: Basic Books, 1959], vol. 4, 368–407; quoted in Cherlin, “Schoenberg and *Das Unheimliche*: Spectres of Tonality, *Journal of Musicology* 11/3 [1993], 361.) The passages that connect Schubert fragments, in Harbison’s post-tonal style, locate the movement firmly in the late twentieth century, in which common-practice tonality has been abandoned in concert music. Thus, tonality has been repressed. A tonal passage such as the one by Schubert is not supposed to appear, and sounds uncanny when it does. Cherlin makes a similar

allowing previous material to overlap the new material, thus providing continuity between two vastly different sections. Above and below the ostinato, the violin and cello play a three-note figure, B–B \flat –B, that updates the prominent neighboring motion of Schubert's original to the twentieth century. While B and B \flat are adjacent in pitch-class space, they are played here as an augmented octave in pitch space, a type of neighboring motion that would be quite unusual in a common-practice composition. Further, the second note of this pattern, B \flat , is the only note not heard in Schubert's original, and it completes the aggregate.⁵¹

Harbison transforms Schubert's fragment into a post-tonal composition by exaggerating several of its features in section S2. Harbison's transformations have an uncanny effect; a familiar work returns with similar, yet unfamiliar features. Klein lists musical signifiers of the uncanny: "chromaticism, enharmonicism, the strange note or voice-leading."⁵² We shall see all of these signifiers at work in Harbison's recomposition. Figure 23 shows neighboring motion in mm. 170 and 174 in Schubert's original, along with the corresponding locations in Harbison's rewritten S2 version, mm. 242 and 246. (The violin plays sustained Gs during this passage, and has been omitted from the example.) The original features a neighboring V $\frac{4}{3}$ chord over a tonic pedal in both measures, each time preceded by a passing-tone C \sharp in the melody. In Harbison's version the expected C \sharp is delayed until the next measure (and is also doubled in the bass of the

point about the first movement of Schoenberg's Fourth String Quartet, a twelve-tone work that contains some unexpected, and uncanny, references to common-practice tonality.

⁵¹ Harbison's connecting passage displays many of the typical characteristics of the change from one quotation to another found in other works. Losada ("The Process of Modulation in Musical Collage") notes that many quotations overlap in some way with surrounding material. In this case the E/G ostinato serves as such an overlap. She also notes that quotations are often juxtaposed to fill out the entire chromatic collection, which she calls "chromatic insertion." In Harbison's work, the connecting passage inserts the B \flat missing from Schubert's original, then later inserts all pitch classes missing from Schubert's ostinato.

⁵² Klein, *Intertextuality in Western Art Music*, 82. For further discussions of musical representations of the uncanny see Joseph Kerman, "Beethoven's Opus 131 and the Uncanny," *19th-Century Music* 25/2–3 (2001–02): 155–164; and Richard Cohn, "Uncanny Resemblances: Tonal Signification in the Freudian Age," *Journal of the American Musicological Society* 57/2 (2004): 285–324.

FIGURE 23. Neighboring motion in Schubert's original composition and in Harbison's rewritten version

The figure displays four musical staves comparing Schubert's original composition (measures 166-171 and 238-243) with Harbison's rewritten version. The original is for Piano, and the rewritten version is for Piano (Pno.).

- Staff 1 (Measures 166-171):** Schubert's original. Annotations include:
 - chromatic passing tone C#:** Points to a circled C# in the right hand at measure 168.
 - neighboring V4/3:** Points to a boxed V4/3 chord in the right hand at measure 169.
 - tonic pedal:** Points to a boxed tonic pedal in the left hand at measure 169.
- Staff 2 (Measures 171-176):** Harbison's rewritten version. Annotations include:
 - chromatic passing tone C#:** Points to a circled C# in the right hand at measure 173.
 - neighboring V4/3 and tonic pedal:** Points to a boxed V4/3 chord and tonic pedal in the left hand at measure 174.
- Staff 3 (Measures 238-243):** Schubert's original. Annotations include:
 - delayed C#:** Points to a circled C# in the right hand at measure 240.
 - common-tone diminished triad (neighboring):** Points to a boxed common-tone diminished triad in the right hand at measure 241.
- Staff 4 (Measures 243-248):** Harbison's rewritten version. Annotations include:
 - delayed C#:** Points to a circled C# in the right hand at measure 245.
 - common-tone diminished triad (neighboring):** Points to a boxed common-tone diminished triad in the right hand at measure 246.

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FIGURE 24. Prominent chromatic note in Schubert's original and Harbison's rewritten version

The figure displays three systems of musical notation for piano (Pno.).

- System 1 (Measures 171-176):** The first system shows measures 171 through 176. An annotation "A-min. triad *pp*" points to a chord in measure 176. Another annotation "G# passing tone creating augmented triad" points to a G# note in measure 176. A third annotation "arrival in E minor" points to a chord in measure 176. A fourth annotation "(P)" points to a chord in measure 176.
- System 2 (Measure 243):** The second system shows measure 243. An annotation "Ab, creating an augmented triad" points to an Ab note in measure 243. A fifth annotation "P" points to a chord in measure 243.
- System 3 (Measures 248-253):** The third system shows measures 248 through 253. An annotation "Ab major triad" points to a chord in measure 248. A sixth annotation "G#, suggesting E major" points to a G# note in measure 251. A seventh annotation "arrival in E minor" points to a chord in measure 253. An eighth annotation "PP" points to a chord in measure 251.

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piano), where it forms an unexpected common-tone diminished triad that embellishes the C-major triad in the manner of a neighboring chord. Here, the C \sharp functions as the enharmonic equivalent of D \flat . This unusual succession of C major–C \sharp diminished–C major is uncanny; it echoes the neighboring motion in Schubert's original, but in a post-tonal idiom. Identical passages appear in mm. 269 and 273, and transposed versions in mm. 259 and 261.

Figure 24 shows the prominent chromatic note in S1's mm. 175 and 176, as well as its reappearance in Harbison's S2 version in m. 247. (String parts, which have been omitted from this example, elaborate the piano's harmonies and double its bassline.) S1's G \sharp passing tone, which originally led to the pivot chord that connected the keys of C major and E minor, is now enharmonically respelled as an A \flat and held throughout the next several measures; it is reminiscent of the held C \sharp discussed above, which also started out as a brief non-chord tone in Schubert's original. The A \flat is held over the barline, introducing an A \flat -major triad in m. 248 instead of the expected A-minor triad that appears in the equivalent location in Schubert's original. At that point, an inner voice moves from E \natural to E \flat . The alternation of E \natural and E \flat will later become central to this movement. The A \flat becomes G \sharp in m. 250, three measures after its first appearance, suggesting the key of E major. The passage finally returns to Schubert's original tonal plan with the arrival of E minor in m. 252. After the E-major chords of m. 250, the arrival on E minor sounds tragic, especially following the eerie modulating passage that led to it.

Several jarring half-step shifts in Harbison's S2 disturb the tonal motion of the original. Figure 25 shows two such instances. (String parts have been omitted.) The E-minor key of mm. 252 and 253 is interrupted by a shift down a half-step in m. 253, not corrected until the sudden return up a half-step from C \flat major to C major in m. 267. This chromatic shift from E minor to E \flat minor recalls the E \flat –E \natural –E \flat inner-voice motion in mm. 247–249, discussed above. An unex-

FIGURE 25. Half-step shifts in section S2

248

Pno. *pp*

E minor

253

Pno.

E \flat minor

267

Pno. *cresc.* *sf* *mp*

C \flat major C major

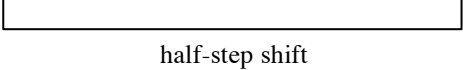
271

Pno. *cresc.* *mf*

C-major triad D \flat -major triad

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FIGURE 26. Tonal motion in Schubert's original fragment (S1) and Harbison's first rewrite (S2)

S1							
Measure:	166	180		185	193	195	
Key:	C	e		G	e	C	
S2							
Measure:	240	252	254	257	265	267	268
Key:	C	e	e \flat	G \flat	e \flat	C \flat	C
<div style="text-align: center;">  half-step shift </div>							

pected chromatic note in m. 274, A \flat (analogous to the A \flat in m. 247 discussed above), leads by chromatic shift to an unusual D \flat -minor triad in m. 275, instead of the D-minor triad in the same location in Schubert's fragment. This D \flat -minor chord then acts as a minor Neapolitan in C major. Figure 26 summarizes tonal motion in Schubert's original (S1), in which key areas outline a C-major triad, and Harbison's S2 version, in which parts of the same harmonic path undergo disorienting half-step transpositions.

Harbison's second rewrite, S3, departs even more from Schubert's original. Many of the uncanny changes to the original observed in section S2 appear again, but are now slightly different, enhancing the uncanny effect; these changes are new yet somehow familiar. Section S3 begins in C minor, a tragic shift from the C major of sections S1 and S2, referring to the E \flat –E \sharp conflict heard in earlier sections. Figure 27 shows unusual neighbor motion in section S3, which differs from that in S2, adding another layer of unfamiliarity. (String parts are omitted from the example.) Neighbor chords in Schubert's original (S1) were V $_3^4$ chords in C major; in S2, neighbor chords were common-tone diminished triads. In section S3, the neighbor chord in m. 326 consists of a D \flat -major triad over tonic pedal. In m. 330, the neighbor chord is now a D-major triad over a tonic pedal. Both neighbor chords recur later in section S3.

FIGURE 27. Neighboring motion in section S3

322

Pno.

p pp haunted

N

328

Pno.

N

p pp

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FIGURE 28. Tonal plans of sections S1, S2, and S3

S1							
Measure:	166	180		185	193	195	
Key:	C	e		G	e	C	
S2							
Measure:	240	252	254	257	265	267	268
Key:	C	e	e ^b	G ^b	e ^b	C ^b	C
half-step shift (down)							
S3							
Measure:	324	336	338	340	348	350	
Key:	c	E ^b	e	G/g	e	c	
half-step shift (up) = SLIDE							

Figure 28 shows S3's tonal plan compared to tonal plans of S1 and S2. S3 begins tonally as a minor version of S1, starting in C minor and moving to its mediant, E \flat major. A half-step shift, similar to that in S2 but in the opposite direction, occurs next, moving from E \flat major to E minor, further highlighting the E \flat /E \natural conflict discussed above.⁵³ The tonal plan proceeds like that of S1 (with the exception of the brief shading of G major to G minor in m. 345), but returns to C minor rather than S1's C major. Section S3 thus combines some of S1's tonal plan with S2's half-step shift, using by-now-familiar tonal motions to create a new, unfamiliar, tonal trajectory, again enhancing this movement's uncanny mix of familiarity and unfamiliarity.

The most notable departure from Schubert's original in section S3 is rhythmic augmentation, which did not appear in S2. Figure 29 shows one such instance from the beginning of S3, in which the opening gesture in the piano, the rising stepwise motion in eighth notes from G to C, is augmented by the cello and violin. Again, this rhythmic augmentation is uncanny; a previously heard motive is at once familiar and unfamiliar.

In sum, the third movement of *November 19, 1828* quotes Schubert for programmatic effect. Harbison rewrites Schubert's fragment to produce a feeling of uncanniness. Small but significant changes to Schubert's original, such as replacing conventional neighbor motion with post-tonal neighbor motion, extending once-brief chromatic notes, and shifting the tonal plan by half-step, make the rewritten version familiar yet altered in disturbing ways. Post-tonal features are out of place in a common-practice work, and create tension between the tonal and post-tonal material. Further, the disorienting alternation of tonal (and quasi-tonal) sections with clearly atonal passages, despite pitch-class and motivic connections, enhances the uncanny nature of Schubert's fragment. The title of this movement—"Schubert recalls a rondo fragment written in

⁵³ The move from E \flat major to E minor is accomplished by the Neo-Riemannian SLIDE operation, in contrast to the exact transposition down a half-step in section S2.

FIGURE 29. Rhythmic augmentation of opening motive in section S3

322

Vn. *pp* *pp dark, reluctant*

Va.

Vc. *pp dark, reluctant*

Pno. *p pp haunted*

rhythmic augmentation

rhythmic augmentation

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1816”—coupled with the title of the entire work (Schubert’s death date) might cause one to wonder what has happened to Schubert in death to make him remember his own composition in this way. Does he now share in our uncanny listening experience, made more terrifying because he hears his *own* music as uncanny?

Harbison’s music is noteworthy for the range and variety of musical sources from which it draws. But more important is the sophisticated interaction between borrowed and new material. In each type of borrowing—misreading, pastiche, and quotation—Harbison employs a different method for relating older and newer music suggested by the borrowing type. Harbison’s misreading of Brahms’s Trio, *Twilight Music*, extracts intervals from a melodic motive in a pre-existing work and then combines these motives in a post-tonal fashion, creating verticalities that

hearken back to Brahms's composition yet clearly belong to the twentieth century. While acknowledging its debt to Brahms, *Twilight Music*, through its harmony, simultaneously asserts its independence from nineteenth-century harmonic practice.

"Parlors," from the *Gatsby Etudes*, borrows more from its source, 1920s popular music and ragtime, than *Twilight Music* does. "Parlors" lifts longer melodic gestures, characteristic intervals, accompaniment patterns, key relationships, and even its form from the ragtime repertoire. These ragtime clichés, however, are juxtaposed and combined in a post-tonal fashion, while the post-tonal pitch-class sets of which they consist recur and interact as well. Harbison's pastiche skillfully unites the two types of music found in *The Great Gatsby*, and links the era of the opera's setting with our own.

November 19, 1828 quotes an actual pre-existing composition in its entirety. Harbison creates an unsettling mood in which each reappearance of Schubert's fragment produces an uncanny effect. Harbison exaggerates prominent features of Schubert's original—writing unexpected neighboring chords, lengthening chromatic pitches, and abruptly shifting key areas by half-step—so that each reappearance is familiar yet strange. Characteristics of Schubert's original remain, but are transformed in ways that would be foreign to Schubert's music, and to his century as well.

Richard Beaudoin observes that "[g]reat acts of musical borrowing are valued and performed not simply because they bring older music into a new performance medium, but because *they reveal something essential about their transcribers.*"⁵⁴ Harbison's borrowings—whether they are misreadings, pastiches, quotations, or even something else—reveal not only his interest in history, but his ability to use the past to enrich the present.

⁵⁴ Beaudoin, "You're There and You're Not There," 104, italics in original.

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ABSTRACT

John Harbison's music is rich in allusions to music of the past. Many of his compositions incorporate excerpts from pre-existing works or newly written passages in earlier styles, predominantly jazz. This article discusses the interaction of pre-existing and new music in three compositions by Harbison (*Twilight Music*, the *Gatsby Etudes*, and *November 19, 1828*), as well as three modes of borrowing used by Harbison (misreading, pastiche, and quotation). Each analysis examines how Harbison transforms pre-existing tonal material to create a post-tonal work, and shows that Harbison's integration of tonal and post-tonal materials varies depending on the mode of borrowing.

HOW TO CITE THIS ARTICLE

(An example based on a humanities-style note citation)

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